

TRANSMITTAL FOR U.S. PATENT APPLICATION
UNDER 37 C.F.R. § 1.53(b)

Mail Stop: Patent Application

Commissioner For Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Transmitted herewith for filing is the original patent application of:

Inventors: Nigel J. Renton et al.

Date Filed: October 28, 2003

For: ***System and Method for Managing the Execution of
Trades Between Market Makers***

Enclosed are:

☒ Specification, Claims and Abstract (52 Total Pages)

☒ Drawing(s) (4 Total Sheet(s) of ☒ Formal ☐ Informal)

☒ Signed Combined Declaration and Power of Attorney (3 Total Pages)
☒ Newly executed (original)

☒ An Assignment of the invention to Cantor Index LLC (3 Pages) is attached. A separate cover sheet (2 Pages) in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of \$40.00 pursuant to 37 C.F.R. § 1.21(h).

☒ This Transmittal (2 pages)

☒ Information Disclosure Statement (2 pages), PTO Form 1449 (1 page), and 1 reference.

☒ Certificate of Mailing

☒ Return Receipt Postcard

Applicant is:

☒ Large Entity
☐ Small Entity

The accompanying application is:

☒ Original
☐ Continuation ☐ Divisional ☐ Continuation-In-Part


FEE CALCULATION (LARGE ENTITY)					FEE
	Number		Number Extra	Rate	<u>Basic Fee</u> \$770.00
Total Claims:	96	-20 =	76	X \$ 18.00	\$1,368.00
Independent Claims	11	- 3 =	8	X \$ 86.00	\$ 688.00
TOTAL FILING FEE =					\$2,826.00

X Enclosed is a check in the amount of \$2,826.00 for fees.

X Please charge any additional fees required by this paper to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P. **A duplicate copy of this sheet is enclosed.**

Respectfully submitted,

BAKER BOTTS L.L.P.
Attorneys for Applicants



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ATTORNEY DOCKET NO.
069547.0171

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Patent Application (52 pages), Fee Transmittal Form (2 pages), a check in the amount of \$2,826.00, Formal Drawings (4 pages), Assignment (3 pages), Assignment Recordation Form (2 pages), check in the amount of \$40.00, Declaration and Power of Attorney (3 pages), Information Disclosure Statement (1 page), Form PTO-1449 (1 page) with 1 attached reference, Baker Botts return postcard (1 postcard), and this Certificate of Mailing are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 28th day of October 2003 and is addressed to the Commissioner For Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

Willie Jiles

Willie Jiles

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